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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	111325-40

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
R	MP	5,848,413		Wolff	Dec. 8, 1998	
	MP	5,884,280		Yoshioka et al.	Mar. 16, 1999	
	MP	6,263,313 B1		Milsted et al.	Jul. 17, 2001	

Examiner Initials	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
R		International Search Report dated December 17, 2001; Form PCT/ISA/220, Form PCT/ISA/210, (total 5 pages)	

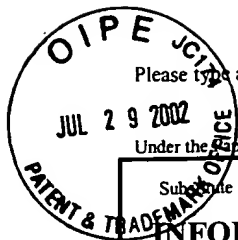
Examiner Signature	<i>R. J. Murchy</i>	Date Considered	1/1/2004
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	09/788,500
				Filing Date	02/21/2001
				First Named Inventor	Guillermo LAO et al.
				Group Art Unit	2152
Examiner Name	Unassigned				
Sheet	1	of	1	Attorney Docket Number	111325/000040

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	<i>m</i>	6,253,193		Ginter et al	06/26/2001	
		4,713,753		Beobert et al	12/15/1987	
		5,052,040		Preston et al	09/24/1991	
		5,301,231		Abraham et al	04/05/1994	
		5,502,766		Boebert et al	03/26/1996	
		5,649,013		Stuckey et al	07/15/1997	
		5,737,416		Cooper et al	04/07/1998	
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		6,301,660		Benson	10/09/2001	
		6,327,652		England et al	12/04/2001	
		6,330,670		England et al	12/11/2001	

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Examiner Initials [*]	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

Examiner Signature	<i>n. m. m. m. m. m.</i>	Date Considered	1/7/2004
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Form PTO-1449

(Rev. 5-82)

U.S. Department of Commerce
Patent and Trademark Office

Atty Docket 111325-40

Serial No. 09/788,500

INFORMATION DISCLOSURE STATEMENT

Applicants: Lao et al.

Filing Date: February 21, 2001

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
AL	4,796,220	01/03/1989	Wolfe			

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Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
	0 715 241	06/05/1996	JP			Full Eng.	
Am	04-369068	12/21/1992	JP			Eng Abst	
me	05-268415	10/15/1993	JP			Eng Abst	
nm	06-175794	06/24/1994	JP			Eng Abst	
ms	06-215010	08/05/1994	JP			Eng Abst	
nm	07-084852	03/31/1995	JP			Eng Abst	
nm	07-200317	08/04/1995	JP			Eng Abst	
nm	07-244639	09/19/1995	JP			Eng Abst	
ngl	62-241061	10/21/1987	JP			Eng Abst	
nm	64-068835	03/14/1989	JP			Eng Abst	
nm	WO 94/01821	01/20/1994	PCT			Full Eng	
ngl	WO 96/24092	08/08/1996	PCT			Full Eng	
ngl	WO 97/48203	12/18/1997	PCT			Full Eng	
ngl	WO 98/11690	03/19/1998	PCT			Full Eng	
ngl	WO 98/42098	09/24/1998	PCT			Full Eng	

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nm	Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law

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Date Considered

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Form PTO-1449
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Patent and Trademark Office

Atty Docket 111325-40

Serial No. 09/788,500

INFORMATION DISCLOSURE STATEMENT

Applicants: Lao et al.

Filing Date: February 21, 2001

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
la	5,058,164	10/15/1991	Elmer et al.			
	5,103,476	04/07/1992	Waite et al.			
	5,113,519	05/12/1992	Johnson et al.			
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	5,138,712	08/11/1992	Corbin			
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	5,159,182	10/27/1992	Eisele			
	5,183,404	02/02/1993	Aldous et al.			
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	5,222,134	06/22/1993	Waite et al.			
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	5,247,575	09/21/1993	Sprague et al.			
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	5,260,999	11/09/1993	Wyman			
	5,263,157	11/16/1993	Janis			
	5,263,158	11/16/1993	Janis			
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	5,276,735	01/04/1994	Boebert et al.			
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	5,319,705	06/07/1994	Halter et al.			
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	5,339,091	08/16/1994	Yamazaki et al.			
	5,341,429	08/23/1994	Stringer et al.			
	5,347,579	09/13/1994	Blandford			
	5,381,526	01/10/1995	Ellson			
	5,394,469	02/28/1995	Nagel et al.			
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Atty Docket 111325-40

Serial No. 09/788,500

INFORMATION DISCLOSURE STATEMENT

Applicants: Lao et al.

Filing Date: February 21, 2001

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
<i>RM</i>	5,432,849	07/11/1995	Johnson et al.			
	5,438,508	08/01/1995	Wyman			
	5,444,779	08/22/1995	Daniele			
	5,453,601	09/26/1995	Rosen			
	5,455,953	10/03/1995	Russell			
	5,457,746	10/10/1995	Dolphin			
	5,473,687	12/05/1995	Lipscomb et al.			
	5,473,692	12/05/1995	Davis			
	5,499,298	03/12/1996	Narasimhalu et al.			
	5,504,814	04/02/1996	Miyahara			
	5,504,818	04/02/1996	Okano			
	5,504,837	04/02/1996	Griffeth et al.			
	5,509,070	04/16/1996	Schull			
	5,530,235	06/25/1996	Stefik et al.			
	5,532,920	07/02/1996	Hartrick et al.			
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	5,539,735	07/23/1996	Moskowitz			
	5,563,946	10/08/1996	Cooper et al.			
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	5,638,443	06/10/1997	Stefik et al.			
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	5,745,569	04/28/1998	Moskowitz et al.			
	5,748,783	05/05/1998	Rhoads			
<i>RM</i>	5,761,686	06/02/1998	Bloomberg			

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Examiner *N. G. Mark*Date Considered *11/7/2001*

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Form PTO-1449
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Patent and Trademark Office

Atty Docket 111325-40

Serial No. 09/788,500

INFORMATION DISCLOSURE STATEMENT

Applicants: Lao et al.

Filing Date: February 21, 2001

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
<i>R</i>	5,765,152	06/09/1998	Erickson			
	5,768,426	06/16/1998	Rhoads			
	5,825,892	10/20/1998	Braudaway et al.			
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	6,115,471	09/05/2000	Oki et al.			
	6,233,684	05/15/2001	Stefik et al.			
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FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
	0 084 441	07/27/1983	EP			Full Eng
	0 180 460	05/07/1986	EP			Full Eng
<i>R</i>	0 332 707	09/01/1989	EP			Full Eng
<i>R</i>	0 651 554	05/03/1995	EP			Full Eng
<i>R</i>	0 668 695	08/23/1995	EP			Full Eng
<i>R</i>	0 725 376	08/07/1996	EP			Full Eng
<i>R</i>	2 136 175	09/12/1984	GB			Full Eng
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<i>R</i>	WO 92/20022	11/12/1992	PCT			Full Eng
<i>R</i>	WO 93/01550	01/21/1993	PCT			Full Eng
<i>R</i>	WO 99/49615	09/30/1999	PCT			Full Eng

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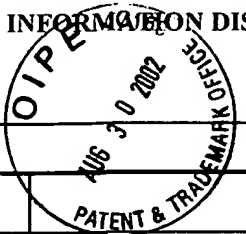
Examiner Initial	
<i>R</i>	"National Semiconductor and EPR Partner for Information Metering/Data Security Cards" March 4, 1994, Press Release from Electronic Publishing Resources, Inc.
<i>R</i>	Weber, R., "Digital Rights Management Technology" October 1995
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Date Considered

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Form PTO-1449 (Rev. 8-83)		U.S. Department of Commerce Patent and Trademark Office		Atty Docket 111325-40		Serial No. 09/788,500	
INFORMATION DISCLOSURE STATEMENT 				Applicants: Lao et al.			
				Filing Date: February 21, 2001		Group Art Unit:	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
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	Weber, R., "Metering Technologies for Digital Intellectual Property", pp. 1-29, Oct. 1994, A Report to the International Federation of Reproduction Rights Organizations						
	Clark, P.C. et al., "Bits: A Smartcard protected Operating System", pp. 66-70 and 94, November 1994, Communications of the ACM, Vol. 37, No. 11						
<i>n</i>	Ross, P.E., "Data Guard", pp. 101, June 6, 1994, Forbes						
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<i>n</i>	Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 1-19, August 1992, Corporation for National Research Initiatives, Virginia						
<i>n</i>	Hilts, P. et al., "Books While U Wait", pp. 48-50, January 3, 1994, Publishers Weekly						
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<i>n</i>	O'Conner, M., "New Distribution Option for Electronic Publishers; iOpener Data Encryption and Metering System for CD-ROM use; Column", pp. 134, March 1994, CD-ROM Professional, Vol. 7, No. 2, ISSN: 1409-0833						
<i>n</i>	Willett, S., "Metered PCs: Is Your System Watching You? Wave System beta tests new technology", pp. 84, May 2, 1994, InfoWorld						
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<i>n</i>	Upthegrove, L., "Intellectual Property Header Descriptors: A Dynamic Approach", pp. 63-66, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1						
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<i>n</i>	Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1						
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<i>n</i>	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 235, February 8, 1995, Internet Dreams: Archetypes, Myths and Metaphors,						
Examiner	<i>n. Mahab</i>			Date Considered		1/7/2002	
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Form PTO-1449
(Rev. 8-83)U.S. Department of Commerce
Patent and Trademark Office

Atty Docket 111325-40

Serial No. 09/788,500

INFORMATION DISCLOSURE STATEMENT

Applicants: Lao et al.

Filing Date: February 21, 2001

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
<i>n</i>	4,827,508	05/02/1989	Shear			
<i>n</i>	4,977,594	12/11/1990	Shear			
<i>n</i>	5,050,213	09/17/1991	Shear			
<i>n</i>	5,410,598	04/25/1995	Shear			
<i>n</i>	5,892,900	04/06/1999	Ginter et al.			
<i>n</i>	5,910,987	06/08/1999	Ginter et al.			
<i>n</i>	5,915,019	06/22/1999	Ginter et al.			
<i>n</i>	5,917,912	06/29/1999	Ginter et al.			
<i>n</i>	5,920,861	07/06/1999	Hall et al.			
<i>n</i>	5,940,504	08/17/1999	Griswold			
<i>n</i>	5,943,422	08/24/1999	Van Wie et al.			
<i>n</i>	5,949,876	09/07/1999	Ginter et al.			
<i>n</i>	5,982,891	11/09/1999	Ginter et al.			
<i>n</i>	5,999,949	12/07/1999	Crandall			
<i>n</i>	6,112,181	08/29/2000	Shear et al.			
<i>n</i>	6,138,119	10/24/2000	Hall et al.			
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<i>n</i>	6,185,683	02/06/2001	Ginter et al.			
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<i>n</i>	6,240,185	05/29/2001	Van Wie et al.			
<i>n</i>	6,253,193	06/26/2001	Ginter et al.			
<i>n</i>	6,292,569	09/18/2001	Shear et al.			
<i>n</i>	6,363,488	05/26/2002	Ginter et al.			
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Examiner

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Date Considered

1/7/2004

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